



EIC 3600 SEARCH REPORT



STIC Database Tracking Number: 362643

To: KENNETH BARTLEY

Location: KNX-5B49

Art Unit: 3693

Thursday, April 28, 2011

Case Serial Number: 10/657535

From: EMORY DAMRON

Location: EIC3600

KNX-4A58

Phone: (571)272-3520

emory.damron@uspto.gov

Search Notes

KENNETH:

Please find below your search results.

References of potential pertinence have been bold- highlighted within the document. If you're being sent an electronic file, please note some text may be followed by drawings chosen because of specific relevance.

There may be a few decent references contained herein, but I'll let you determine how useful they may be to you.

Please contact me if I can refocus or expand any aspect of this case. And, if you need better, different or more art.

EIC 3600 welcomes your feedback and would be particularly interested in learning if you anticipate using any of these references in an office action.

Good Luck!

Sincerely,

Emory Damron

EIC 3600, US Patent & Trademark Office

Phone: (571) 272-3520

emory.damron@uspto.gov

0014884197 *Drawing available*
WPI Acc no: 2005-231936/200524
XRPX Acc No: N2005-191039

Investment portfolio buying power determining method, involves receiving request to analyze proposed transaction and calculating transaction limit for proposed transaction based upon transaction rules

Patent Assignee: KOCHANSKY J (KOCH-I)

Inventor: **KOCHANSKY J**

Patent Family (1 patents, 1 countries)							
Patent Number	Kind	Date	Application Number	Kind	Date	Update	Type
US 20050055300	A1	20050310	US 2003657535	A	20030908	200524	B

Alerting Abstract US A1

NOVELTY - The method involves providing a set of **compliance rules** for an investment **portfolio**. The **rules** are applied to a proposed **transaction** to determine a **transaction limit**. A request is received to analyze the proposed **transaction**. The **limit** is calculated for the proposed **transaction** based upon the **rules**. **Buying power** of the **portfolio** is determined based upon the **limit** associated with the **most restrictive rule**.

DESCRIPTION - An INDEPENDENT CLAIM is also included for a system for determining the **buying power** of an investment **portfolio**.

USE - Used for determining **buying power** of an investment **portfolio**.

ADVANTAGE - The method provides a **portfolio** manager with the **transaction limit** based upon the **compliance rules** to efficiently allocate available funds among the **portfolios**.

DESCRIPTION OF DRAWINGS - The drawing shows a schematic diagram depicting the core functional components of a **portfolio** management system.

14Control program

18Analytical server

22Portfolio database

24Rules database

26Securities database

III. ALL SEARCH STRATEGIES & DATABASES

File 347:JAPIO Dec 1976-2010/Dec(Updated 110323)

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File 350:Derwent WPIX 1963-2011/UD=201127

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Set	Items	Description
S1	3157	PORTFOLIO?
S2	63566	(GROUP? OR POOL? OR MIX OR CLUSTER? OR LIST? OR COLLECTION?
		OR AGGREGAT? OR MULTIPLE? OR MULTITUD? OR BUNDL? OR SEVERAL?-
FI-) (2N) (SHARES? OR STOCK? OR BOND? OR EQUIT? OR DEBENTUR? OR NANCIAL? () INSTRUMENT? OR INVESTMENT?) OR MUTUAL () FUND? ?
S3	2527	(STOCKMARKET? OR STOCK () MARKET? OR DEBENTUR? OR STOCK?
OR -		EQUIT? OR SHARE? OR INVESTMENT? OR BOND? ? OR COMMODIT? OR FU-
		TURE? OR SECURIT? OR FINANCIAL? () INSTRUMENT? OR MUTUAL () FUND?
		OR MONETAR? () NOTE?) (2N) (ACCOUNT? OR ACCT? OR IRA OR INDIVIDUA-
		L () RETIREMENT () ACCOUNT? OR IRAS OR 401K OR 401 () K OR ANNUITY -
		OR ANNUITIE? OR PENSION? () PLAN?)
S4	59638	COMPLIAN? OR OBEY? OR COMPLY?
S5	2851013	ADHERENC? OR FIDELIT? OR FAITHFUL? OR COMPLIE? OR FOLLOW? -
		OR (TOE OR TOES OR TOED OR TOEING) (2W) LINE OR LOYAL?
S6	154030	CONFORMIT? OR CONFORM OR CONFORMS OR CONFORMED OR CONFORMI-
		NG OR OBSERV? (2W) (DISCIPLINE? OR CONTINUIT? OR PROCEDUR?
OR P-		ROTOCOL? OR RULE? OR POLICY? OR POLICIE?)
S7	22297	S1:S3 AND S4:S6
S8	1676	RULE OR RULES OR PROTOCOL? OR POLICY OR POLICIE? OR PROCED-
		URE? OR PROCEDURAL? OR RULESET? OR RULEBASE? OR CRITERION? OR
STAT-		CRITERIA OR LAW OR LAWS OR ORDINANCE? OR CIVIL () CODE? OR UTE? OR GUIDELINE?
S9	14	(CONDITIONAL? OR LEGAL? OR STATUTOR? OR AGENCY OR SEC
OR L-		EGISLAT? OR OBLIGATORY? OR MANDATORY? OR COMPULSOR? OR
ADMINI-		STRATIV? OR ESSENTIAL?) (2N) (BENCHMARK? OR PARAMET? OR
CONSTR-		INT? OR REQUIREMENT? OR REQUISIT? OR REGS OR REGULATION?
OR D-		IRECTIV?)
S10	401	(PREDETERMINED OR PREDEFINED OR PRESELECT? OR PRESET OR PR-
		EPROGRAMMED OR FIXED OR PREESTABLISHED OR STATED OR
DEFINED OR		SELECTED OR ESTABLISHED) (2N) (CRITERIA OR FACTOR OR
FACTORS OR		MODEL??? OR CONDITION? OR SCENARIO?)

S11 959 TRANSACTION? OR TRADES OR TRADING? OR DEALS OR SWAPS OR
 SW-
 APPING? OR DEALING?
 S12 21 (VOLUME? OR NUMBER? OR AMOUNT?)(2N)(SHARES OR EQUITIE?
 OR -
 FINANCIAL?())INSTRUMENT? OR BONDS OR DEBENTURE?)(2N)(EFT OR
 FU-
 ND?())TRANSFER? OR EXPENDIT? OR EXPENS? OR OUTLAY? OR BUY
 OR B-
 UYS OR PURCHAS? OR SALE? OR SELL? OR SOLD? OR BOUGHT? OR
 ADDS
 OR ADD OR ADDED OR ADDING OR ADDITION?)
 S13 1885 LIMIT OR LIMITS OR LIMITATION OR LIMITED OR LIMITING OR
 CAP
 OR CAPS OR TOPLIMIT? OR PEAK? OR CREST?
 S14 472 BOUNDARY? OR BOUNDARIE? OR THRESHOLD? OR THRESHOLD? OR
 CE-
 ILING? OR BUYING()POWER? OR (HIGHWATER? OR
 HIGH()WATER)()MARK?
 ?
 S15 1361 UPPERMOST? OR (SET OR TIPPING)()POINT? OR
 CRITICAL()MASS? -
 OR MAXIMUM? OR MAXIMAL? OR OPTIMUM? OR OPTIMAL?
 S16 86 S7 AND S8:S10 AND S11:S12 AND S13:S15
 S17 85 SORT OR SORTS OR SORTED OR SORTING OR RANK OR RANKS OR
 RAN-
 KED OR RANKING? OR HIERARCH? OR PRIORITIS? OR PRIORITIZ?
 OR T-
 AXONOMIS? OR TAXONOMIZ? OR LIST? ? OR LISTED OR LISTING OR
 IT-
 EMIZ? OR ITEMIS? OR DESCRIPTION?
 S18 34 RATE? OR RATING? OR SCORE? OR SCORING? OR GRADE? OR
 GRADING
 OR CLASSIFY? OR CLASSIFIE? OR CLASSIFICAT? OR
 TOTEM()POLE? OR
 CAT?GORIS? OR CAT?GORIZ?
 S19 62 LEAST OR LOWEST? OR SMALLEST? OR MINIMUM? OR MINIMAL?
 OR L-
 ITTLEST? OR TINIST? OR BOTTOMMOST?
 S20 25 MOST OR HIGHEST? OR BIGGEST? OR LARGEST? OR MAXIMUM? OR
 MA-
 XIMAL? OR GREATEST? OR UPPERMOST? OR TOPMOST? OR
 MIGHTIEST?
 S21 19 RESTRICT? OR STRICT? OR TIGHT? OR CONFINING OR CHEAPEST
 OR
 NARROW? OR SELECTIVE? OR EXCLUDING OR EXCLU?ATOR? OR
 EXCLUSIV?
 OR CONTROLLED OR PROHIBIT? OR FORBID? OR PROSCRIB?
 S22 14 LENIENT? OR LAX OR LOOSE OR LOOSEST OR DEAREST OR
 WIDEST? -
 OR INDISCRIMINA? OR UNDISCRIMINA? OR NONEXCLU? OR
 UNRESTRICT?
 OR UNEXCLU? OR UNCONTROLL? OR PERMIT? OR PERMISSI?
 S23 69 COMPUTER? OR ANALYT?()SERVER? OR DATABASE?
 S24 0 MICROCONTROLLER? OR MICROCOMPUTER? OR MINICONTROLLER?
 S25 9 COMPUTING() (DEVICE? OR APPARATUS?) OR MULTIPROCESS? OR
 APP

OR APPS
 S26 8 CONTROLLER? OR CONTROLLING() (DEVICE? OR UNIT? ?) OR
 MINICO-
 MPUTER? OR PC OR PCS
 S27 2 DATAPROCESSOR? OR CENTRALPROCESSOR? OR CPU OR CPUS
 S28 33 SERVER? OR (DATA OR MICRO OR CENTRAL OR
 MINI) () (PROCESSOR?
 OR CONTROLLER?) OR MINICOMPUTER?
 S29 0 MICROPROCESSOR? OR MICRO() (CONTROLLER? OR PROCESSOR?)
 S30 1 EXECUT?() FILE? OR PROGRAM?() LANGUAGE? OR CONTROL() LOGIC?
 S31 13 SOFTWARE? OR SOFT()WARE? OR APP? ? OR MACRO? ? OR API
 OR A-
 PIS OR PROGRAM()INTERFACE?
 S32 6 PROCESS?R?(2N) (PROGRAM? OR APPLICATION? OR ROUTINE? OR
 SUB-
 ROUTINE? OR CODE? OR INSTRUCTION? OR ALGORITHM? OR
 LANGUAGE?)
 S33 5 PROCESS?R?(2N) (PROCEDUR? OR PROTOCOL? OR COMMUNICATION?
 OR
 COMMAND? OR STEP? ? OR SEQUEN?)
 S34 1 PROCESS?R?(2N) (SCRIPT? OR UTILIT? OR CODE? OR UTILIT?
 OR S-
 CRIPT? OR ROUTINE? OR SUBROUTIN?)
 S35 30 DISPLAY? OR CRT OR CRTS OR GUI OR
 GRAPHIC?(2W) (INTERFAC? OR
 SCREEN? OR WINDOW? OR TABLE? OR MONITOR? OR PANEL?) OR
 MENU -
 OR MENUS OR BROWSER?
 S36 4 (GRAPHIC? OR DIGITAL?) () (REPRESENTATION? OR DEPICT?) OR
 GI-
 I? ? OR GDI? ? OR (GRAPHIC? OR VISUAL?) (2W) (INTERFACE? OR
 APP?
 ? OR APPLICAT?)
 S37 0 COMPUTER?() (SCREEN? OR WINDOW?) OR USERINTERFAC? OR
 (DROP -
 OR PULL) () DOWN? OR (WINDOW OR DESKTOP) () MANAGER? OR
 PULLDOWN?
 S38 0 UI OR UIS OR (GRAPHIC? OR VISUAL?) (2N) (MENU? OR PAGE?
 OR S-
 CREEN?) OR GUIS
 S39 0 (MESSAGE? OR OUTPUT? OR NOTIFY? OR NOTIFI? OR
 MESSAGING? OR
 TEXT???) () (BOX OR BOXES OR WINDOW? OR FIELD?)
 S40 1 AU=(KOCHANSKY J? OR KOCHANSKY, J?)
 S41 0 KOCHANSKY(2N) (JOSEPH? OR JOE OR JOEY)
 S42 79 IC=(G06F? OR G06Q? OR G07F?)
 S43 21 S16 AND S17:S18 AND S19:S20 AND S21:S22
 S44 20 S43 AND S23:S34
 S45 9 S43 AND S35:S39
 S46 1 S43 AND S40:S41
 S47 20 S43 AND S42
 S48 21 S43:S47
 S49 1 S48 AND S46
 S50 20 S48 NOT S49
 S51 7 S50 AND AY=1950:2003
 S52 3 S50 NOT AY=2004:2011
 S53 7 S51:S52

S54 7 IDPAT (sorted in duplicate/non-duplicate order)
 S55 7 IDPAT (primary/non-duplicate records only)

 File 348:EUROPEAN PATENTS 1978-201116
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 File 349:PCT FULLTEXT 1979-2011/UB=20110421|UT=20110414
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Set	Items	Description
S1	4905	PORTFOLIO?
S2	74435	(GROUP? OR POOL? OR MIX OR CLUSTER? OR LIST? OR COLLECTION?
		OR AGGREGAT? OR MULTIPLE? OR MULTITUD? OR BUNDL? OR SEVERAL?-
) (2N) (SHARES? OR STOCK? OR BOND? OR EQUIT? OR DEBENTUR? OR FI-
		NANCIAL? () INSTRUMENT? OR INVESTMENT?) OR MUTUAL () FUND? ?
S3	5168	(STOCKMARKET? OR STOCK () MARKET? OR DEBENTUR? OR STOCK?
OR -		EQUIT? OR SHARE? OR INVESTMENT? OR BOND? ? OR COMMODIT? OR FU-
		TURE? OR SECURIT? OR FINANCIAL? () INSTRUMENT? OR MUTUAL () FUND?
		OR MONETAR? () NOTE?) (2N) (ACCOUNT? OR ACCT? OR IRA OR INDIVIDUA-
		L () RETIREMENT () ACCOUNT? OR IRAS OR 401K OR 401 () K OR ANNUITY -
		OR ANNUITIE? OR PENSION? () PLAN?)
S4	157157	COMPLIAN? OR OBEY? OR COMPLY?
S5	2162546	ADHERENC? OR FIDELIT? OR FAITHFUL? OR COMPLIE? OR FOLLOW? -
		OR (TOE OR TOES OR TOED OR TOEING) (2W) LINE OR LOYAL?
S6	185614	CONFORMIT? OR CONFORM OR CONFORMS OR CONFORMED OR CONFORMI-
		NG OR OBSERV? (2W) (DISCIPLINE? OR CONTINUIT? OR PROCEDUR?
OR P-		ROTOCOL? OR RULE? OR POLICY? OR POLICIE?)
S7	5704	S1:S3(2N)S4:S6
S8	4249	RULE OR RULES OR PROTOCOL? OR POLICY OR POLICIE? OR PROCED-
		URE? OR PROCEDURAL? OR RULESET? OR RULEBASE? OR CRITERION?
OR		CRITERIA OR LAW OR LAWS OR ORDINANCE? OR CIVIL () CODE? OR STAT-
		UTE? OR GUIDELINE?
S9	193	(CONDITIONAL? OR LEGAL? OR STATUTOR? OR AGENCY OR SEC
OR L-		EGISLAT? OR OBLIGATORY? OR MANDATORY? OR COMPULSOR? OR ADMINI-
		STRATIV? OR ESSENTIAL? OR COMMISSION?) (2N) (BENCHMARK? OR PARA-

OR R- MET? OR CONSTRAINT? OR REQUIREMENT? OR REQUISIT? OR REGS
 S10 1173 REGULATION? OR DIRECTIV?)
 PR- (PREDETERMINED OR PREDEFINED OR PRESELECT? OR PRESET OR
 DEFINED OR EPROGRAMMED OR FIXED OR PREESTABLISHED OR STATED OR
 FACTORS OR SELECTED OR ESTABLISHED) (2N) (CRITERIA OR FACTOR OR
 MODEL??? OR CONDITION? OR SCENARIO?)
 S11 1083 TRANSACTION? OR TRADES OR TRADING? OR DEALS OR SWAPS OR
 SW- APPING? OR DEALING?
 S12 113 (VOLUME? OR NUMBER? OR AMOUNT?) (2N) (SHARES OR EQUITIE?
 OR - FINANCIAL?() INSTRUMENT? OR BONDS OR DEBENTURE?) (2N) (EFT OR
 FU- ND?() TRANSFER? OR EXPENDIT? OR EXPENS? OR OUTLAY? OR BUY
 OR B- UYS OR PURCHAS? OR SALE? OR SELL? OR SOLD? OR BOUGHT? OR
 ADDS OR ADD OR ADDED OR ADDING OR ADDITION?)
 S13 5335 LIMIT OR LIMITS OR LIMITATION OR LIMITED OR LIMITING OR
 CAP OR CAPS OR TOPLIMIT? OR PEAK? OR CREST?
 S14 1232 BOUNDARY? OR BOUNDARIE? OR THRESHOLD? OR THRESHHOLD? OR
 CE- ILING? OR BUYING() POWER? OR (HIGHWATER? OR
 HIGH() WATER) () MARK?
 ?
 S15 3028 UPPERMOST? OR (SET OR TIPPING) () POINT? OR
 CRITICAL() MASS? -
 OR MAXIMUM? OR MAXIMAL? OR OPTIMUM? OR OPTIMAL?
 S16 501 S7 AND S1:S6 (20N) S8:S10 AND (S1:S6 OR
 S8:S10) (20N) S11:S12 -
 AND (S1:S6 OR S8:S10 OR S11:S12) (20N) S13:S15
 S17 501 SORT OR SORTS OR SORTED OR SORTING OR RANK OR RANKS OR
 RAN- KED OR RANKING? OR HIERARCH? OR PRIORITIS? OR PRIORITIZ?
 OR T- AXONOMIS? OR TAXONOMIZ? OR LIST? ? OR LISTED OR LISTING OR
 IT- EMIZ? OR ITEMIS? OR DESCRIPTION?
 S18 460 RATE? OR RATING? OR SCORE? OR SCORING? OR GRADE? OR
 GRADING OR CLASSIFY? OR CLASSIFIE? OR CLASSIFICAT? OR
 TOTEM() POLE? OR
 CAT?GORIS? OR CAT?GORIZ?
 S19 492 LEAST OR LOWEST? OR SMALLEST? OR MINIMUM? OR MINIMAL?
 OR L- ITTLEST? OR TINIEST? OR BOTTOMMOST?
 S20 473 MOST OR HIGHEST? OR BIGGEST? OR LARGEST? OR MAXIMUM? OR
 MA- XIMAL? OR GREATEST? OR UPPERMOST? OR TOPMOST? OR
 MIGHTIEST?
 S21 449 RESTRICT? OR STRICT? OR TIGHT? OR CONFINING OR CHEAPEST
 OR

NARROW? OR SELECTIVE? OR EXCLUDING OR EXCLU?ATOR? OR
 EXCLUSIV?
 OR CONTROLLED OR PROHIBIT? OR FORBID? OR PROSCRIB?
 S22 340 LENIENT? OR LAX OR LOOSE OR LOOSEST OR DEAREST OR
 WIDEST? -
 OR INDISCRIMINA? OR UNDISCRIMINA? OR NONEXCLU? OR
 UNRESTRICT?
 OR UNEXCLU? OR UNCONTROLL? OR PERMIT? OR PERMISSI?
 S23 484 COMPUTER? OR ANALYT?() SERVER? OR DATABASE?
 S24 39 MICROCONTROLLER? OR MICROCOMPUTER? OR MINICONTROLLER?
 S25 139 COMPUTING() (DEVICE? OR APPARATUS?) OR MULTIPROCESS? OR
 APP
 OR APPS
 S26 234 CONTROLLER? OR CONTROLLING() (DEVICE? OR UNIT? ?) OR
 MINICO-
 MPU? OR PC OR PCS
 S27 128 DATAPROCESSOR? OR CENTRALPROCESSOR? OR CPU OR CPUS
 S28 353 SERVER? OR (DATA OR MICRO OR CENTRAL OR
 MINI) () (PROCESSOR?
 OR CONTROLLER?) OR MINICOMPUTER?
 S29 131 MICROPROCESSOR? OR MICRO() (CONTROLLER? OR PROCESSOR?)
 S30 125 EXECUT?() FILE? OR PROGRAM?() LANGUAGE? OR CONTROL() LOGIC?
 S31 427 SOFTWARE? OR SOFT()WARE? OR APP? ? OR MACRO? ? OR API
 OR A-
 PIS OR PROGRAM()INTERFACE?
 S32 113 PROCESS?R?(2N) (PROGRAM? OR APPLICATION? OR ROUTINE? OR
 SUB-
 ROUTINE? OR CODE? OR INSTRUCTION? OR ALGORIITH? OR
 LANGUAGE?)
 S33 73 PROCESS?R?(2N) (PROCEDUR? OR PROTOCOL? OR COMMUNICATION?
 OR
 COMMAND? OR STEP? ? OR SEQUEN?)
 S34 33 PROCESS?R?(2N) (SCRIPT? OR UTILIT? OR CODE? OR UTILIT?
 OR S-
 CRIPT? OR ROUTINE? OR SUBROUTIN?)
 S35 430 DISPLAY? OR CRT OR CRTS OR GUI OR
 GRAPHIC?(2W) (INTERFAC? OR
 SCREEN? OR WINDOW? OR TABLE? OR MONITOR? OR PANEL?) OR
 MENU -
 OR MENUS OR BROWSER?
 S36 203 (GRAPHIC? OR DIGITAL?) () (REPRESENTATION? OR DEPICT?) OR
 GI-
 I? ? OR GDI? ? OR (GRAPHIC? OR VISUAL?) (2W) (INTERFACE? OR
 APP?
 ? OR APPLICAT?)
 S37 125 COMPUTER?() (SCREEN? OR WINDOW?) OR USERINTERFAC? OR
 (DROP -
 OR PULL) () DOWN? OR (WINDOW OR DESKTOP) () MANAGER? OR
 PULLDOWN?
 S38 109 UI OR UIS OR (GRAPHIC? OR VISUAL?) (2N) (MENU? OR PAGE?
 OR S-
 CREEN?) OR GUIS
 S39 97 (MESSAGE? OR OUTPUT? OR NOTIFY? OR NOTIFI? OR
 MESSAGING? OR
 TEXT???) () (BOX OR BOXES OR WINDOW? OR FIELD?)
 S40 0 AU=(KOCHANSKY J? OR KOCHANSKY, J?)
 S41 0 KOCHANSKY(2N) (JOSEPH? OR JOE OR JOEY)

S42 444 IC=(G06F? OR G06Q? OR G07F?)
 S43 64 S16 AND S17:S18(10N)S19:S20(10N)S21:S22
 S44 63 S43 AND S23:S34
 S45 61 S43 AND S35:S39
 S46 51 S43 AND S42
 S47 63 S44:S46
 S48 38 S47 AND AY=1950:2003
 S49 34 S47 NOT AY=2004:2011
 S50 38 S48:S49
 S51 38 IDPAT (sorted in duplicate/non-duplicate order)
 S52 37 IDPAT (primary/non-duplicate records only)

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 (c) 2002 Gale/Cengage

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Set	Items	Description
S1	61339	PORTFOLIO?
S2	76215	(GROUP? OR POOL? OR MIX OR CLUSTER? OR LIST? OR
COLLECTION?		OR AGGREGAT? OR MULTIPLE? OR MULTITUD? OR BUNDL? OR
SEVERAL?-) (2N) (SHARES? OR STOCK? OR BOND? OR EQUIT? OR DEBENTUR? OR
FI-		NANCIAL?() INSTRUMENT? OR INVESTMENT?) OR MUTUAL() FUND? ?
S3	20998	(STOCKMARKET? OR STOCK() MARKET? OR DEBENTUR? OR STOCK?
OR -		EQUIT? OR SHARE? OR INVESTMENT? OR BOND? ? OR COMMODIT? OR
FU-		TURE? OR SECURIT? OR FINANCIAL?() INSTRUMENT? OR
MUTUAL() FUND?		OR MONETAR?() NOTE?) (2N) (ACCOUNT? OR ACCT? OR IRA OR
INDIVIDUA-		L() RETIREMENT() ACCOUNT? OR IRAS OR 401K OR 401() K OR
ANNUITY -		

OR ANNUITIE? OR PENSION?()PLAN?)
 S4 132609 COMPLIAN? OR OBEY? OR COMPLY?
 S5 1373943 ADHERENC? OR FIDELIT? OR FAITHFUL? OR COMPLIE? OR
 FOLLOW? -
 OR (TOE OR TOES OR TOED OR TOEING) (2W) LINE OR LOYAL?
 S6 43929 CONFORMIT? OR CONFORM OR CONFORMS OR CONFORMED OR
 CONFORMI-
 NG OR OBSERV? (2W) (DISCIPLINE? OR CONTINUIT? OR PROCEDUR?
 OR P-
 ROTOCOL? OR RULE? OR POLICY? OR POLICIE?)
 S7 11544 S1:S3 AND S4:S6
 S8 2628 RULE OR RULES OR PROTOCOL? OR POLICY OR POLICIE? OR
 PROCED-
 URE? OR PROCEDURAL? OR RULESET? OR RULEBASE? OR CRITERION?
 OR
 CRITERIA OR LAW OR LAWS OR ORDINANCE? OR CIVIL()CODE? OR
 STAT-
 UTE? OR GUIDELINE?
 S9 56 (CONDITIONAL? OR LEGAL? OR STATUTOR? OR AGENCY OR SEC
 OR L-
 EGISLAT? OR OBLIGATORY? OR MANDATORY? OR COMPULSOR? OR
 ADMINI-
 STRATIV? OR ESSENTIAL? OR COMMISSION?) (2N) (BENCHMARK? OR
 PARA-
 MET? OR CONSTRAINT? OR REQUIREMENT? OR REQUISIT? OR REGS
 OR R-
 EGULATION? OR DIRECTIV?)
 S10 47 (PREDETERMINED OR PREDEFINED OR PRESELECT? OR PRESET OR
 PR-
 EPROGRAMMED OR FIXED OR PREESTABLISHED OR STATED OR
 DEFINED OR
 SELECTED OR ESTABLISHED) (2N) (CRITERIA OR FACTOR OR
 FACTORS OR
 MODEL??? OR CONDITION? OR SCENARIO?)
 S11 1781 TRANSACTION? OR TRADES OR TRADING? OR DEALS OR SWAPS OR
 SW-
 APPING? OR DEALING?
 S12 4 (VOLUME? OR NUMBER? OR AMOUNT?) (2N) (SHARES OR EQUITIE?
 OR -
 FINANCIAL?() INSTRUMENT? OR BONDS OR DEBENTURE?) (2N) (EFT OR
 FU-
 ND?() TRANSFER? OR EXPENDIT? OR EXPENS? OR OUTLAY? OR BUY
 OR B-
 UYS OR PURCHAS? OR SALE? OR SELL? OR SOLD? OR BOUGHT? OR
 ADDS
 OR ADD OR ADDED OR ADDING OR ADDITION?)
 S13 780 LIMIT OR LIMITS OR LIMITATION OR LIMITED OR LIMITING OR
 CAP
 OR CAPS OR TOPLIMIT? OR PEAK? OR CREST?
 S14 182 BOUNDARY? OR BOUNDARIE? OR THRESHOLD? OR THRESHOLD? OR
 CE-
 ILING? OR BUYING()POWER? OR (HIGHWATER? OR
 HIGH()WATER) ()MARK?
 ?
 S15 832 UPPERMOST? OR (SET OR TIPPING) ()POINT? OR
 CRITICAL()MASS? -
 OR MAXIMUM? OR MAXIMAL? OR OPTIMUM? OR OPTIMAL?

S16 130 S7 AND S8:S10 AND S11:S12 AND S13:S15
 S17 14 SORT OR SORTS OR SORTED OR SORTING OR RANK OR RANKS OR
 RAN- KED OR RANKING? OR HIERARCH? OR PRIORITIS? OR PRIORITIZ?
 OR T- AXONOMIS? OR TAXONOMIZ? OR LIST? ? OR LISTED OR LISTING OR
 IT- EMIZ? OR ITEMIS? OR DESCRIPTION?
 S18 60 RATE? OR RATING? OR SCORE? OR SCORING? OR GRADE? OR
 GRADING OR CLASSIFY? OR CLASSIFIE? OR CLASSIFICAT? OR
 TOTEM()POLE? OR
 CAT?GORIS? OR CAT?GORIZ?
 S19 27 LEAST OR LOWEST? OR SMALLEST? OR MINIMUM? OR MINIMAL?
 OR L- ITTLEST? OR TINIEST? OR BOTTOMMOST?
 S20 46 MOST OR HIGHEST? OR BIGGEST? OR LARGEST? OR MAXIMUM? OR
 MA- XIMAL? OR GREATEST? OR UPPERMOST? OR TOPMOST? OR
 MIGHTIEST?
 S21 29 RESTRICT? OR STRICT? OR TIGHT? OR CONFINING OR CHEAPEST
 OR NARROW? OR SELECTIVE? OR EXCLUDING OR EXCLU?ATOR? OR
 EXCLUSIV? OR CONTROLLED OR PROHIBIT? OR FORBID? OR PROSCRIB?
 S22 10 LENIENT? OR LAX OR LOOSE OR LOOSEST OR DEAREST OR
 WIDEST? - OR INDISCRIMINA? OR UNDISCRIMINA? OR NONEXCLU? OR
 UNRESTRICT? OR UNEXCLU? OR UNCONTROL? OR PERMIT? OR PERMISSI?
 S23 7 COMPUTER? OR ANALYT?() SERVER? OR DATABASE?
 S24 0 MICROCONTROLLER? OR MICROCOMPUTER? OR MINICONTROLLER?
 S25 0 COMPUTING() (DEVICE? OR APPARATUS?) OR MULTIPROCESS? OR
 APP OR APPS
 S26 0 CONTROLLER? OR CONTROLLING() (DEVICE? OR UNIT? ?) OR
 MINICO- MPU? OR PC OR PCS
 S27 0 DATAPROCESSOR? OR CENTRALPROCESSOR? OR CPU OR CPUS
 S28 0 SERVER? OR (DATA OR MICRO OR CENTRAL OR
 MINI)() (PROCESSOR?
 OR CONTROLLER?) OR MINICOMPUTER?
 S29 0 MICROPROCESSOR? OR MICRO() (CONTROLLER? OR PROCESSOR?)
 S30 0 EXECUT?() FILE? OR PROGRAM?() LANGUAGE? OR CONTROL() LOGIC?
 S31 4 SOFTWARE? OR SOFT()WARE? OR APP? ? OR MACRO? ? OR API
 OR A- PIS OR PROGRAM()INTERFACE?
 S32 0 PROCESS?R?(2N) (PROGRAM? OR APPLICATION? OR ROUTINE? OR
 SUB- ROUTINE? OR CODE? OR INSTRUCTION? OR ALGORITHM? OR
 LANGUAGE?)
 S33 0 PROCESS?R?(2N) (PROCEDUR? OR PROTOCOL? OR COMMUNICATION?
 OR COMMAND? OR STEP? ? OR SEQUEN?)
 S34 0 PROCESS?R?(2N) (SCRIPT? OR UTILIT? OR CODE? OR UTILIT?
 OR S- CRIPT? OR ROUTINE? OR SUBROUTIN?)

S35 3 DISPLAY? OR CRT OR CRTS OR GUI OR
 GRAPHIC?(2W) (INTERFAC? OR
 SCREEN? OR WINDOW? OR TABLE? OR MONITOR? OR PANEL?) OR
 MENU -
 OR MENUS OR BROWSER?
 S36 0 (GRAPHIC? OR DIGITAL?) () (REPRESENTATION? OR DEPICT?) OR
 GI-
 I? ? OR GDI? ? OR (GRAPHIC? OR VISUAL?) (2W) (INTERFACE? OR
 APP?
 ? OR APPLICAT?)
 S37 0 COMPUTER?() (SCREEN? OR WINDOW?) OR USERINTERFAC? OR
 (DROP -
 OR PULL) () DOWN? OR (WINDOW OR DESKTOP) () MANAGER? OR
 PULLDOWN?
 S38 0 UI OR UIS OR (GRAPHIC? OR VISUAL?) (2N) (MENU? OR PAGE?
 OR S-
 CREEN?) OR GUI\$
 S39 0 (MESSAGE? OR OUTPUT? OR NOTIFY? OR NOTIFI? OR
 MESSAGING? OR
 TEXT???) () (BOX OR BOXES OR WINDOW? OR FIELD?)
 S40 0 AU=(KOCHANSKY J? OR KOCHANSKY, J?)
 S41 0 KOCHANSKY(2N) (JOSEPH? OR JOE OR JOEY)
 S42 2 IC=(G06F? OR G06Q? OR G07F?)
 S43 2 S16 AND S42
 S44 2 RD (unique items)
 S45 128 S16 NOT S44
 S46 10 S45 AND S17:S18 AND S19:S20 AND S21:S22
 S47 0 S46 AND S23:S34
 S48 2 S46 AND S35:S39
 S49 10 S46:S48
 S50 10 RD (unique items)
 S51 118 S45 NOT S49
 S52 11 S51 AND S23:S39
 S53 9 S52 AND S17:S22
 S54 11 S52:S53
 S55 11 RD (unique items)

 File 9:Business & Industry(R) Jul/1994-2011/Apr 26
 (c) 2011 Gale/Cengage
 File 15:ABI/Inform(R) 1971-2011/Apr 26
 (c) 2011 ProQuest Info&Learning
 File 16:Gale Group PROMT(R) 1990-2011/Apr 25
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 File 148:Gale Group Trade & Industry DB 1976-2011/Apr 26
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 File 160:Gale Group PROMT(R) 1972-1989
 (c) 1999 The Gale Group
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 File 268:Banking Info Source 1981-2011/Apr W3
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 File 275:Gale Group Computer DB(TM) 1983-2011/Feb 25

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 File 610:Business Wire 1999-2011/Apr 27
 (c) 2011 Business Wire.
 File 613:PR Newswire 1999-2011/Apr 27
 (c) 2011 PR Newswire Association Inc
 File 621:Gale Group New Prod.Annou.(R) 1985-2011/Feb 24
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 (c) 2008 American Banker
 File 626:Bond Buyer Full Text 1981-2008/Jul 07
 (c) 2008 Bond Buyer
 File 634:San Jose Mercury Jun 1985-2011/Apr 26
 (c) 2011 San Jose Mercury News
 File 636:Gale Group Newsletter DB(TM) 1987-2011/Apr 26
 (c) 2011 Gale/Cengage
 File 810:Business Wire 1986-1999/Feb 28
 (c) 1999 Business Wire
 File 813:PR Newswire 1987-1999/Apr 30
 (c) 1999 PR Newswire Association Inc

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Set	Items	Description
S1	6214866	PORTFOLIO?
S2	3624213	(GROUP? OR POOL? OR MIX OR CLUSTER? OR LIST? OR COLLECTION?
		OR AGGREGAT? OR MULTIPLE? OR MULTITUD? OR BUNDL? OR SEVERAL?-
FI-) (2N) (SHARES? OR STOCK? OR BOND? OR EQUIT? OR DEBENTUR? OR NANCIAL? () INSTRUMENT? OR INVESTMENT?) OR MUTUAL () FUND? ?
S3	1111184	(STOCKMARKET? OR STOCK () MARKET? OR DEBENTUR? OR STOCK?
OR -		EQUIT? OR SHARE? OR INVESTMENT? OR BOND? ? OR COMMODIT? OR
FU-		TURE? OR SECURIT? OR FINANCIAL? () INSTRUMENT? OR
MUTUAL () FUND?		OR MONETAR? () NOTE?) (2N) (ACCOUNT? OR ACCT? OR IRA OR
INDIVIDUA-		L () RETIREMENT () ACCOUNT? OR IRAS OR 401K OR 401 () K OR
ANNUITY -		OR ANNUITIE? OR PENSION? () PLAN?)
S4	4494123	COMPLIAN? OR OBEY? OR COMPLY?
S5	28743204	ADHERENC? OR FIDELIT? OR FAITHFUL? OR COMPLIE? OR FOLLOW? -
		OR (TOE OR TOES OR TOED OR TOEING) (2W) LINE OR LOYAL?
S6	931722	CONFORMIT? OR CONFORM OR CONFORMS OR CONFORMED OR CONFORMI-
		NG OR OBSERV?N?
S7	274628	S1:S3(10N)S4:S6
S8	110916	RULE OR RULES OR PROTOCOL? OR POLICY OR POLICIE? OR PROCED-

URE? OR PROCEDURAL? OR RULESET? OR RULEBASE? OR CRITERION?
 OR
 CRITERIA OR LAW OR LAWS OR ORDINANCE? OR CIVIL()CODE? OR
 STAT-
 UTE? OR GUIDELINE?
 S9 8439 (CONDITIONAL? OR LEGAL? OR STATUTOR? OR AGENCY OR SEC
 OR L-
 EGISLAT? OR OBLIGATORY? OR MANDATORY? OR COMPULSOR? OR
 ADMINI-
 STRATIV? OR ESSENTIAL? OR COMMISSION?) (2N) (BENCHMARK? OR
 PARA-
 MET? OR CONSTRAINT? OR REQUIREMENT? OR REQUISIT? OR REGS
 OR R-
 EGULATION? OR DIRECTIV?)
 S10 2346 (PREDETERMINED OR PREDEFINED OR PRESELECT? OR PRESET OR
 PR-
 EPROGRAMMED OR FIXED OR PREESTABLISHED OR STATED OR
 DEFINED OR
 SELECTED OR ESTABLISHED) (2N) (CRITERIA OR FACTOR OR
 FACTORS OR
 MODEL??? OR CONDITION? OR SCENARIO?)
 S11 125221 TRANSACTION? OR TRADES OR TRADING? OR DEALS OR SWAPS OR
 SW-
 APPING? OR DEALING?
 S12 9705 (VOLUME? OR NUMBER? OR AMOUNT?) (2N) (SHARES OR EQUITIE?
 OR -
 FINANCIAL?() INSTRUMENT? OR BONDS OR DEBENTURE?) (2N) (EFT OR
 FU-
 ND?() TRANSFER? OR EXPENDIT? OR EXPENS? OR OUTLAY? OR BUY
 OR B-
 UYS OR PURCHAS? OR SALE? OR SELL? OR SOLD? OR BOUGHT? OR
 ADDS
 OR ADD OR ADDED OR ADDING OR ADDITION?)
 S13 98645 LIMIT OR LIMITS OR LIMITATION OR LIMITED OR LIMITING OR
 CAP
 OR CAPS OR TOPLIMIT? OR PEAK? OR CREST?
 S14 8920 BOUNDARY? OR BOUNDARIE? OR THRESHOLD? OR THRESHHOLD? OR
 CE-
 ILING? OR BUYING()POWER? OR (HIGHWATER? OR
 HIGH()WATER) ()MARK?
 ?
 S15 20627 UPPERMOST? OR (SET OR TIPPING) ()POINT? OR
 CRITICAL()MASS? -
 OR MAXIMUM? OR MAXIMAL? OR OPTIMUM? OR OPTIMAL?
 S16 4333 S7 AND S1:S6(10N)S8:S10 AND (S1:S6 OR
 S8:S10) (10N)S11:S12 -
 AND (S1:S6 OR S8:S10 OR S11:S12) (10N)S13:S15
 S17 3144 SORT OR SORTS OR SORTED OR SORTING OR RANK OR RANKS OR
 RAN-
 KED OR RANKING? OR HIERARCH? OR PRIORITIS? OR PRIORITIZ?
 OR T-
 AXONOMIS? OR TAXONOMIZ? OR LIST? ? OR LISTED OR LISTING OR
 IT-
 EMIZ? OR ITEMIS? OR DESCRIPTION?
 S18 3369 RATE? OR RATING? OR SCORE? OR SCORING? OR GRADE? OR
 GRADING

TOTEM()POLE? OR
 CAT?GORIS? OR CAT?GORIZ?
 S19 3020 LEAST OR LOWEST? OR SMALLEST? OR MINIMUM? OR MINIMAL?
 OR L-
 ITTLEST? OR TINIEST? OR BOTTOMMOST?
 S20 3719 MOST OR HIGHEST? OR BIGGEST? OR LARGEST? OR MAXIMUM? OR
 MA-
 XIMAL? OR GREATEST? OR UPPERMOST? OR TOPMOST? OR
 MIGHTIEST?
 S21 3337 RESTRICT? OR STRICT? OR TIGHT? OR CONFINING OR CHEAPEST
 OR
 NARROW? OR SELECTIVE? OR EXCLUDING OR EXCLU?ATOR? OR
 EXCLUSIV?
 OR CONTROLLED OR PROHIBIT? OR FORBID? OR PROSCRIB?
 S22 2007 LENIENT? OR LAX OR LOOSE OR LOOSEST OR DEAREST OR
 WIDEST? -
 OR INDISCRIMINA? OR UNDISCRIMINA? OR NONEXCLU? OR
 UNRESTRICT?
 OR UNEXCLU? OR UNCONTROLL? OR PERMIT? OR PERMISSI?
 S23 1332 COMPUTER? OR ANALYT?()SERVER? OR DATABASE?
 S24 16 MICROCONTROLLER? OR MICROCOMPUTER? OR MINICONTROLLER?
 S25 68 COMPUTING() (DEVICE? OR APPARATUS?) OR MULTIPROCESS? OR
 APP
 OR APPS
 S26 304 CONTROLLER? OR CONTROLLING() (DEVICE? OR UNIT? ?) OR
 MINICO-
 MPUTER? OR PC OR PCS
 S27 7 DATAPROCESSOR? OR CENTRALPROCESSOR? OR CPU OR CPUS
 S28 153 SERVER? OR (DATA OR MICRO OR CENTRAL OR
 MINI) () (PROCESSOR?
 OR CONTROLLER?) OR MINICOMPUTER?
 S29 12 MICROPROCESSOR? OR MICRO() (CONTROLLER? OR PROCESSOR?)
 S30 13 EXECUT?()FILE? OR PROGRAM?()LANGUAG? OR CONTROL()LOGIC?
 S31 1109 SOFTWARE? OR SOFT()WARE? OR APP? ? OR MACRO? ? OR API
 OR A-
 PIS OR PROGRAM()INTERFACE?
 S32 4 PROCESS?R?(2N) (PROGRAM? OR APPLICATION? OR ROUTINE? OR
 SUB-
 ROUTINE? OR CODE? OR INSTRUCTION? OR ALGORIITH? OR
 LANGUAG?)
 S33 1 PROCESS?R?(2N) (PROCEDUR? OR PROTOCOL? OR COMMUNICATION?
 OR
 COMMAND? OR STEP? ? OR SEQUEN?)
 S34 1 PROCESS?R?(2N) (SCRIPT? OR UTILIT? OR CODE? OR UTILIT?
 OR S-
 CRIPT? OR ROUTINE? OR SUBROUTIN?)
 S35 643 DISPLAY? OR CRT OR CRTS OR GUI OR
 GRAPHIC?(2W) (INTERFAC? OR
 SCREEN? OR WINDOW? OR TABLE? OR MONITOR? OR PANEL?) OR
 MENU -
 OR MENUS OR BROWSER?
 S36 45 (GRAPHIC? OR DIGITAL?) () (REPRESENTATION? OR DEPICT?) OR
 GI-
 I? ? OR GDI? ? OR (GRAPHIC? OR VISUAL?) (2W) (INTERFACE? OR
 APP?
 ? OR APPLICAT?)

S37 42 COMPUTER?() (SCREEN? OR WINDOW?) OR USERINTERFAC? OR
 (DROP - OR PULL)()DOWN? OR (WINDOW OR DESKTOP)()MANAGER? OR
 PULLDOWN?
 S38 19 UI OR UIS OR (GRAPHIC? OR VISUAL?)(2N)(MENU? OR PAGE?
 OR S- CREEN?) OR GUIS
 S39 9 (MESSAGE? OR OUTPUT? OR NOTIFY? OR NOTIFI? OR
 MESSAGING? OR TEXT???)() (BOX OR BOXES OR WINDOW? OR FIELD?)
 S40 0 AU=(KOCHANSKY J? OR KOCHANSKY, J?)
 S41 0 KOCHANSKY(2N)(JOSEPH? OR JOE OR JOEY)
 S42 0 IC=(G06F? OR G06Q? OR G07F?)
 S43 177 S16 AND S17:S18(10N)S19:S20(10N)S21:S22
 S44 88 S43 AND S23:S34
 S45 28 S43 AND S35:S39
 S46 17 S44 AND S45
 S47 16 RD (unique items)
 S48 99 S44:S45
 S49 44 S48 AND PY=1950:2003
 S50 44 S48 NOT PY=2004:2011
 S51 44 S49:S50
 S52 37 S51 NOT S46
 S53 30 RD (unique items)
 S54 78 S43 NOT S44:S46
 S55 37 S54 AND PY=1950:2003
 S56 37 S54 NOT PY=2004:2011
 S57 37 S55:S56
 S58 28 RD (unique items)

No documents found for: ((PORTFOLIO*) AND (COMPLY* OR COMPLIE* OR COMPLIAN* OR ADHEREN* OR CONFORM* OR FIDELIT*) AND (RULE* OR POLICY* OR POLICIES OR PROTOCOL*) AND (TRANSACTION* OR TRADE* OR TRADING) AND (LIMIT* OR CAP OR CAPS OR CEILING* OR THRESHOLD*)) AND (SORT* OR RANK* OR GRAD* OR SCOR* OR PRIORITI*) AND (DISPLAY* OR SCREEN* OR MENU* OR GUI OR CRT* OR DESKTOP*)) AND PMID(32326) AND PDN(<10/1/2003)

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